

Chapter 7

Policies and Plans Required by Law

Included in this chapter are the policies and plans public libraries must have in place. The Library Development Office has copies of by-laws and policies from other public libraries if you are interested in seeing sample policies.

When you develop a new policy or update an old policy be sure to send Library Development Office a copy for the vertical file or send us the Web address so that we may create a link to it from State Library's Web site.

For examples of **policies** from *Indiana public libraries*, go to the following link on the State Library's Web site:

www.in.gov/library/2813.htm

For examples of **plans** from *Indiana public libraries*, go to the following link on the State Library's Web site:

www.in.gov/library/2813.htm

A. **"Minimum Standards for Public Libraries"**

Policies/plans needed to fulfill the *minimum requirements*:

- **Library Board By-laws**
- **Long-Range Plan**
- **Technology Plan** A technology plan is the only plan or policy that is required to be approved and filed with the Indiana State Library if you will be applying for the e-rate discount. This plan must be approved in order to receive the e-rate discount on Internet lines.
- **Collection Development Policy**
- **Personnel Policy and Procedures**
- **Principles of Access/Circulation Policy,**

Including a Fines and Fees Policy

**see Accounting and Uniform Compliance Guidelines Manual for Libraries 1-3*

B. Disaster Recovery Plan for Computer Systems

**see Accounting and Uniform Compliance Guidelines Manual for Libraries 5-4*

C. Employee Benefits

**see Accounting and Uniform Compliance Guidelines Manual for Libraries 8-1*
(Could be a part of the Personnel policy)

- sick leave
- vacation leave
- personal leave
- leave time/compensatory time/payment of overtime
- public employee's retirement fund (PERF)
- deferred compensation plan

D. Internet Acceptable Use Policy

IC 36-12-1-12 (reviewed annually); Internet Safety Policy – Children's Internet Protection Act (CIPA) and Neighborhood Children's Internet Protection Act (N-CIPA) (PL 106-554), adopted after holding one public hearing or meeting. For libraries receiving the e-rate discount, the policy must address the following issues:

- access by minors to inappropriate matter on the Internet and World Wide Web
- the safety and security of minors when using electronic mail, chat rooms, and other forms of direct electronic communications
- unauthorized access, including hacking, and other unlawful activities by minors online
- unauthorized disclosure, use, and dissemination of personal identification information regarding minors
- measures designed to restrict minors' access to materials harmful to minors

E. Investment Policy

IC 5-13-7-7, **see Accounting and Uniform Compliance Guidelines Manual for Libraries 9-14*

- F. **Moving and Interview Expense Policy**
(Could be a part of the Personnel policy) *see *Accounting and Uniform Compliance Guidelines Manual for Libraries* 8-4
- G. **Policies and Procedures Manual**
(A type of manual in which all policies within this outline can be placed)
- H. **Purchasing Policy**
IC 5-22-3-3, *see *Accounting and Uniform Compliance Guidelines Manual for Libraries* (Small Purchase Policy-under \$50,000) 10-7
- I. **Records Excepted from Disclosure Policy**
IC 5-14-3-4(b), *see *Accounting and Uniform Compliance Guidelines Manual for Libraries* 6-4
- J. **Travel Policy**
(Could be a part of the Personnel policy), *see *Accounting and Uniform Compliance Guidelines Manual for Libraries* 8-3

General Policies Checklist

1. Administration and Governance

- ☐ Board responsibilities
- ☐ Managerial and staff responsibilities
- ☐ Strategic planning and forecasting

2. Personnel

- ☐ Recruitment, hiring, and termination
- ☐ Conditions of employment
- ☐ Training and development (including a travel policy)
- ☐ Job descriptions
- ☐ Wages and salaries
- ☐ Work environment (including a sexual harassment policy)
- ☐ Collective bargaining
- ☐ Fringe benefits
- ☐ Other (grievances, substance abuse, reimbursements, etc.)

3. Finance

- ☐ Budget type and calendar cycle
- ☐ Source and type of funding
- ☐ Capital budgeting requirements
- ☐ Investments
 - ☐ Legal authority
 - ☐ Safety of principal
 - ☐ Diversification
 - ☐ Indemnification
 - ☐ Liquidity
 - ☐ Maturities
 - ☐ Maximum rate of return
- ☐ Maintaining public trust
- ☐ Local considerations
- ☐ Reporting requirements
- ☐ Expenditure authorization and check-signing
- ☐ Audits

4. **Programs/Services**

- ☐ Library mission
- ☐ Selection of materials
- ☐ Use of materials
- ☐ Reference and reader's assistance
- ☐ Extension of services--expansion/outreach
- ☐ Cooperative activities
- ☐ Review and evaluation

5. **Marketing**

- ☐ Product/service offered
- ☐ Cost to user
- ☐ Publicity/promotion
- ☐ Location

6. **Facility and Equipment**

- ☐ Location
- ☐ Inventory control
- ☐ Maintenance and repair
- ☐ Sale/disposal of surplus property

7. **Public Relations**

- ☐ Responsibility
- ☐ Intended audience
- ☐ Purpose
- ☐ Means

8. **Legal**

- ☐ By-laws
- ☐ Contracts and agreements
- ☐ Insurance
- ☐ Licensing

(Adapted from *Nonprofit Boards: A Practical Guide to Roles, Responsibilities, and Performances*, by Diane J. Duca, with permission from the Oryx Press, 2214 North Central Avenue, Phoenix, AZ 85004)

Source: *Checklists for Public Library Managers* by Jay Wozny. Scarecrow Press, 1989, pg. 25-26.

Personnel Policies Checklist

(Short Version)

1. **Filling Vacancies**

- ☐ Recruitment
- ☐ Selection
- ☐ Appointment

2. **Personnel Procedures**

- ☐ Conditions of employment, including definitions of important terms
- ☐ Orientation period
- ☐ Performance evaluation
- ☐ Promotions
- ☐ Grievance procedures
- ☐ Personnel records
- ☐ Separations from employment

3. **Salaries and Position Classifications**

- ☐ Position pay scales, including hiring limits
- ☐ Requirements for pay increases
- ☐ Overtime
- ☐ Time and place of payment

4. **Benefits**

- ☐ Insurance
- ☐ Retirement
- ☐ Worker's Compensation

5. **Staff training and Development**

- ☐ In-service training
- ☐ Formal education
- ☐ Professional affiliation
- ☐ Tuition reimbursement

6. **Vacation and Leave**

- ❑ Vacation
- ❑ Sick leave
- ❑ Holidays
- ❑ Personal leave
- ❑ Professional/educational leave
- ❑ Jury duty
- ❑ Military duty
- ❑ Emergency leave
- ❑ Maternity/paternity leave

(Adapted from *Avenues to Excellence, Standards for Public Library Service in Illinois*, Appendix C, Personnel Policies. Illinois Library Association, Public Library Section, Standards Committee.)

Source: Jay Wozny. *Checklists for Public Library Managers*. Scarecrow Press, 1989, p. 83-84.

Personnel Policies Checklist

(Possible topics to cover)

1. **Employment-At-Will Disclaimer**
2. **Job Classifications**; full-time and part-time status
3. **Orientation/trial Period**
4. **Equal Employment Opportunity Statement**
5. **Sexual Harassment Policies**
6. **Work Rules and Disciplinary Policy and Procedures** — common items included may be:
 - excessive absences, tardiness, or early leaves
 - use, possession, actual or intended distribution or being under the influence of drugs, controlled substances, or alcohol
 - insubordination
 - refusal to cooperate with investigation
 - falsification of library records, including the employment application
 - negligent or unauthorized use of library equipment
 - harassment, physical abuse or verbal abuse of employees, patrons, or visitors
 - gambling during working hours
 - theft or unauthorized use or possession of library property or another person's property
 - soliciting or seeking support or contributions during working time for any cause or organization without management approval
 - violation of safety rules or common safety practices
 - failure to make a prompt report of any accident on library property
 - inattention to the job, or poor job performance
 - failure to observe library working hours, schedules, including scheduled overtime
 - disclosure of confidential information to unauthorized persons
 - possession of weapons on library property
7. **Hours of Work, Layoff/Recall**
8. **Military Leave**

9. **Jury Service**
10. **Bereavement Leave**
11. **Attendance Policy**
12. **Vacation**
13. **Holidays**
14. **Personal Days**
15. **Sick Days**
16. **Union-Free Workplace Statement**
17. **Open Door Statement** (do not restrict employees from communicating with members of management other than their immediate supervisors)
18. **Bulletin Boards** — fosters communication between employees
19. **Substance Abuse Policy**
20. **Family and Medical Leave Act Policies**
21. **Smoking** – can prohibit in facility
22. **Dress Code**
23. **References** — prevents employer from releasing references that will cause it to be held liable for defamation
24. **Promotion/Transfer/Job Openings**
25. **Timekeeping Requirements**
1. **Health Insurance, Health Savings Accounts, Disability Benefits Programs, Deferred Compensation, and PERF**
26. **Confidential Information**
27. **Personal Belongings**
28. **Employment of Relatives**
29. **Safety and Health**
30. **Inclement Weather/Emergencies**

- 31. **Telephone** (for customer satisfaction and for employee's personal calls)
- 32. **Internet/E-mail**
- 33. **Employee Examination of Personnel Files** — employer may decide whether employees may review their files or not; documents should not be removed.
- 34. **Termination of Employment**
- 35. **Receipt/Acknowledgement** – helps to ensure that the employee has read the handbook.

Adapted from a Barnes & Thornburg handout, 1998.

ALA Planning Process

The ***New Planning for Results: A Streamlined Approach*** was published in 2001.

Here are the ***Steps of the Planning Process*** from *general to specific*:



Community Vision



Community Needs



**Community Needs the
Library Can Meet**



Service Responses



Library Mission



Service Goals



Objectives



Activities

Thirteen Primary Service Responses

The service responses provide library planners with a mechanism for linking identified community needs with specific library services and programs. Generally, six or fewer service responses are chosen for major emphasis. To support the services and programs developed from the selected service priorities, library planners focus on resources to meet the needs (i.e. staff, collections, facilities, and technology).

A service response is what a library does for, or offers to, the public in an effort to meet a set of well-defined community needs. The following list captures most of the primary services that libraries offer, but it is not an exhaustive list.

Primary Service Responses

- basic literacy
- business and career information
- commons
- community referral
- consumer information
- cultural awareness
- current topics and titles
- formal learning support
- general information
- government information
- information literacy
- lifelong learning
- local history and genealogy

Planning for Results

The New Planning for Results Planning Steps

- | | |
|--------|--|
| Step 1 | <u>Prepare</u> : Planning to Plan |
| Step 2 | <u>Imagine</u> : Identifying Possibilities |
| Step 3 | <u>Design</u> : Inventing the Future |
| Step 4 | <u>Build</u> : Assembling the Future |
| Step 5 | <u>Communicate</u> : Informing the Stakeholders |
| Step 6 | <u>Implement</u> : Moving into the Future |

The New Planning for Results Planning: Steps, Tasks and Milestones

Step 1 Prepare: Planning to Plan

Task 1: Design the Planning Process

Task 2: Prepare Board, Staff, and Committee

Milestones:

- develop a planning time line and budget
- explain the responsibilities of planning committee members, library staff, library board members, and local government officials
- identify the stakeholders and community representatives you want to serve on the planning committee
- provide a planning orientation for the library staff and the board
- provide an orientation for the planning committee
- develop a plan to inform your community about the planning process and its results

Step 2 Imagine: Identifying Possibilities

Task 3: Determine Community Vision

Task 4: Identify Community Needs

Milestones:

- gather data about your community
- look to the future to develop a vision for your community
- identify current conditions in your community and compare them with the vision for the future

- determine what needs to be done to move the community closer to the vision for the future
- present data about current library programs and services
- identify which community needs the library can help the community meet

Step 3 Design: Inventing the Future

Task 5: Select Service Responses

Task 6: Write Goals and Objectives

Milestones:

- make the connection between community needs and library service priorities
- assess the effect the proposed library service priorities will have on existing services and programs
- select the library priorities for the current planning cycle and write the library mission statement
- write goals that reflect the library priorities
- select measures that will help you track the progress the library is making toward meeting the goals
- write objectives that incorporate the selected measures

Step 4 Build: Assembling the Future

Task 7: Identify Preliminary Activities

Task 8: Determine Resource Requirements

Milestones:

- involve library staff members in the identification of activities that will result in the library's making progress toward reaching its goals and objectives
- help the staff understand the difference between efficiency and effectiveness
- identify the most important resources that will be required for each possible activity
- select the activities for the current year
- explain the gap analysis process to the board and staff
- use the gap analysis process to determine the staff, collections, facilities, and technology requirements for the selected activities

Step 5 Communicate: Informing the Stakeholders

Task 9: Write the Plan and Obtain Approval

Task 10: Communicate the Results of the Planning Process

Milestones:

- write the basic library plan
- present the draft of the basic plan to the staff and the members of the planning committee for review and comment
- submit the final draft of the basic plan to the library board or your local government for review and approval
- review your public relations plan to ensure that all appropriate audiences have been identified
- select the portions of the basic plan that need to be included in communications to each target audience
- determine the formats and languages in which the plan should be published

Step 6 Implement: Moving into the Future

Task 11: Allocate or Reallocate Resources

Task 12: Monitor Implementation

Milestones:

- allocate or reallocate the resources required to implement the activities in the plan
- integrate the activities in the plan into the ongoing operations of the library
- monitor the progress the library is making toward achieving the goals and objectives in the plan
- adjust the plan as needed when circumstances change or planning assumptions prove to be invalid
- develop activities for the second and third years of the current planning cycle
- use what you have learned in this planning cycle in your next planning process

Strategic Planning for Results.. Rev. ed. of: The New Planning for Results: A Streamlined Approach. 2001. Sandra Nelson for the Public Library Association, American Library Association, 2008.

See also:

Planning for Results: a Public Library Transformation Process, 2 Vols. The Guidebook and the How-To-Manual. Ethel Himmel and William James Wilson with the Revision Committee of the Public Library Association, American Library Association, 1998.

Related Titles:

Creating Policies for Results: From Chaos to Clarity. Sandra Nelson and June Garcia for the Public Library Association, American Library Association, 2003.

Managing for Results: Effective Resource Allocation for Public Libraries. Sandra Nelson, Ellen Altman, and Diane Mayo for the Public Library Association, American Library Association, 2000.

Staffing for Results: A Guide to Working Smarter. Diane Mayo and Jeanne Goodrich for the Public Library Association, American Library Association, 2002.

The TechAtlas web-based planning tool takes you step-by-step through the planning process for a Technology Plan. With tools for the vision, assessment, inventory, budget, and evaluation, there are forms to fill out and background information for every form, this tool can help guide you through the entire process whether this is your first long-range plan, or you're just looking for new ideas.